

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

1058 U 10/671594  
09/29/03

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	520.43161X00
First Inventor	SUGIMURA, NAOZUMI
Title	FILE MANAGEMENT METHOD, RECORDING APPARATUS, REPRODUCING APPARATUS, AND RECORDING MEDIUM
Express Mail Label No.	

**APPLICATION ELEMENTS**

SEE MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**  
 Mail Stop Patent Application  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria VA 22313-1450

- |   |  |
|---|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><i>(Submit an original and a duplicate for fee processing)</i> | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.   | 8. Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i>   |
| 3. <input checked="" type="checkbox"/> Specification<br><i>(preferred arrangement set forth below)</i>  | a. <input type="checkbox"/> Computer Readable Form (CRF)   |
|   | b. Specification Sequence Listing on:<br><br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br><br>ii. <input type="checkbox"/> paper |
|   | c. <input type="checkbox"/> Statements verifying identity of above copies  |
- 
- |   |   |
|---|---|
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113)<br>[Total Pages: 14]  | 9. <input type="checkbox"/> Assignment Papers (cover sheet & documents(s))  |
| 5. Oath or Declaration<br>a. <input type="checkbox"/> Newly executed (original or copy)   | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br><i>(when there is an assignee)</i>        |
| b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d))<br><i>(for continuation/divisional with Box 18 completed)</i>   | 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>  |
| i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br>Signed statement attached deleting inventor(s)<br>Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) | 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations                 |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76   | 13. <input type="checkbox"/> Preliminary Amendment  |
|   | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><i>(Should be specifically itemized)</i>                        |
|   | 15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)<br><i>(if foreign priority is claimed)</i>                     |
|   | 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. |
|   | 17. <input checked="" type="checkbox"/> Other: <b>Eigs. 1-16, Credit Card Payment Form, List and Copies of Prior Art</b>                      |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP)    of prior application No.:

Prior application information: Examiner: \_\_\_\_\_ Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number	020457			<input type="checkbox"/> Correspondence address below
Name	ANTONELLI, TERRY, STOUT & KRAUS, LLP			
Address				
City		State		Zip Code
Country		Telephone	(703) 312-6600	Fax (703) 312-6666
Name	Carl I. Brundidge			Registration No. (Attorney/Agent) 29,621
Signature				Date September 29, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# **FEE TRANSMITTAL**

## **for FY 2003**

*Effective 01/01/2003. Patent fees are subject to annual revision.*

<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27					Art Unit																																																																																																																																																								
TOTAL AMOUNT OF PAYMENT			(\$ ) 750.00		Attorney Docket No.		520.43161X00																																																																																																																																																						
METHOD OF PAYMENT (check all that apply)					FEE CALCULATION (continued)																																																																																																																																																								
<input type="checkbox"/> Check <input checked="" type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account: Deposit Account Number 01-2135 Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP <b>The Commissioner authorized to:</b> (check all that apply) <input type="checkbox"/> Charge fees indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fees indicated below, except for the filing fee to the above-identified deposit account.					<b>3. ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Fee Code</th> <th>Large Entity (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>1051</td><td>130</td><td>2051</td><td>65 Surcharge – late filing fee or oath</td><td></td></tr> <tr><td>1052</td><td>50</td><td>2052</td><td>25 Surcharge – late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>1053</td><td>130</td><td>1053</td><td>130 Non-English specification</td><td></td></tr> <tr><td>1812</td><td>2,520</td><td>1812</td><td>2,520 For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>1804</td><td>920*</td><td>1804</td><td>920* Requesting publication of SIR prior to Examination action</td><td></td></tr> <tr><td>1805</td><td>1,840*</td><td>1805</td><td>1,840* Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>1251</td><td>110</td><td>2251</td><td>55 Extension for reply within first month</td><td></td></tr> <tr><td>1252</td><td>410</td><td>2252</td><td>205 Extension for reply within second month</td><td></td></tr> <tr><td>1253</td><td>930</td><td>2253</td><td>465 Extension for reply within third month</td><td></td></tr> <tr><td>1254</td><td>1,450</td><td>2254</td><td>725 Extension for reply within fourth month</td><td></td></tr> <tr><td>1255</td><td>1,970</td><td>2255</td><td>985 Extension for reply within fifth month</td><td></td></tr> <tr><td>1401</td><td>320</td><td>2401</td><td>160 Notice of Appeal</td><td></td></tr> <tr><td>1402</td><td>320</td><td>2402</td><td>160 Filing a brief in support of an appeal</td><td></td></tr> <tr><td>1403</td><td>280</td><td>2403</td><td>140 Request for oral hearing</td><td></td></tr> <tr><td>1451</td><td>1,510</td><td>1451</td><td>1,510 Petition to institute a public use proceeding</td><td></td></tr> <tr><td>1452</td><td>110</td><td>2452</td><td>55 Petition to revive – unavoidable</td><td></td></tr> <tr><td>1453</td><td>1,300</td><td>2453</td><td>650 Petition to revive – unintentional</td><td></td></tr> <tr><td>1501</td><td>1,300</td><td>2501</td><td>650 Utility issue fee (or reissue)</td><td></td></tr> <tr><td>1502</td><td>470</td><td>2502</td><td>235 Design issue fee</td><td></td></tr> <tr><td>1503</td><td>630</td><td>2503</td><td>315 Plant issue fee</td><td></td></tr> <tr><td>1406</td><td>130</td><td>1460</td><td>130 Petitions to the Commissioner</td><td></td></tr> <tr><td>1807</td><td>50</td><td>1807</td><td>50 Processing fee under 37 CFR 1.17(q)</td><td></td></tr> <tr><td>1806</td><td>180</td><td>1806</td><td>180 Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>8021</td><td>40</td><td>8021</td><td>40 Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>1809</td><td>750</td><td>2809</td><td>375 Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>1810</td><td>750</td><td>2810</td><td>375 For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>1801</td><td>750</td><td>2801</td><td>375 Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>1802</td><td>900</td><td>1802</td><td>900 Request for expedited examination of a design application</td><td></td></tr> <tr> <td colspan="5">Other fee (specify) _____</td> </tr> </tbody> </table>			Fee Code	Large Entity (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	1051	130	2051	65 Surcharge – late filing fee or oath		1052	50	2052	25 Surcharge – late provisional filing fee or cover sheet		1053	130	1053	130 Non-English specification		1812	2,520	1812	2,520 For filing a request for ex parte reexamination		1804	920*	1804	920* Requesting publication of SIR prior to Examination action		1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action		1251	110	2251	55 Extension for reply within first month		1252	410	2252	205 Extension for reply within second month		1253	930	2253	465 Extension for reply within third month		1254	1,450	2254	725 Extension for reply within fourth month		1255	1,970	2255	985 Extension for reply within fifth month		1401	320	2401	160 Notice of Appeal		1402	320	2402	160 Filing a brief in support of an appeal		1403	280	2403	140 Request for oral hearing		1451	1,510	1451	1,510 Petition to institute a public use proceeding		1452	110	2452	55 Petition to revive – unavoidable		1453	1,300	2453	650 Petition to revive – unintentional		1501	1,300	2501	650 Utility issue fee (or reissue)		1502	470	2502	235 Design issue fee		1503	630	2503	315 Plant issue fee		1406	130	1460	130 Petitions to the Commissioner		1807	50	1807	50 Processing fee under 37 CFR 1.17(q)		1806	180	1806	180 Submission of Information Disclosure Stmt		8021	40	8021	40 Recording each patent assignment per property (times number of properties)		1809	750	2809	375 Filing a submission after final rejection (37 CFR § 1.129(a))		1810	750	2810	375 For each additional invention to be examined (37 CFR § 1.129(b))		1801	750	2801	375 Request for Continued Examination (RCE)		1802	900	1802	900 Request for expedited examination of a design application		Other fee (specify) _____				
Fee Code	Large Entity (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																																																									
1051	130	2051	65 Surcharge – late filing fee or oath																																																																																																																																																										
1052	50	2052	25 Surcharge – late provisional filing fee or cover sheet																																																																																																																																																										
1053	130	1053	130 Non-English specification																																																																																																																																																										
1812	2,520	1812	2,520 For filing a request for ex parte reexamination																																																																																																																																																										
1804	920*	1804	920* Requesting publication of SIR prior to Examination action																																																																																																																																																										
1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action																																																																																																																																																										
1251	110	2251	55 Extension for reply within first month																																																																																																																																																										
1252	410	2252	205 Extension for reply within second month																																																																																																																																																										
1253	930	2253	465 Extension for reply within third month																																																																																																																																																										
1254	1,450	2254	725 Extension for reply within fourth month																																																																																																																																																										
1255	1,970	2255	985 Extension for reply within fifth month																																																																																																																																																										
1401	320	2401	160 Notice of Appeal																																																																																																																																																										
1402	320	2402	160 Filing a brief in support of an appeal																																																																																																																																																										
1403	280	2403	140 Request for oral hearing																																																																																																																																																										
1451	1,510	1451	1,510 Petition to institute a public use proceeding																																																																																																																																																										
1452	110	2452	55 Petition to revive – unavoidable																																																																																																																																																										
1453	1,300	2453	650 Petition to revive – unintentional																																																																																																																																																										
1501	1,300	2501	650 Utility issue fee (or reissue)																																																																																																																																																										
1502	470	2502	235 Design issue fee																																																																																																																																																										
1503	630	2503	315 Plant issue fee																																																																																																																																																										
1406	130	1460	130 Petitions to the Commissioner																																																																																																																																																										
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)																																																																																																																																																										
1806	180	1806	180 Submission of Information Disclosure Stmt																																																																																																																																																										
8021	40	8021	40 Recording each patent assignment per property (times number of properties)																																																																																																																																																										
1809	750	2809	375 Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																										
1810	750	2810	375 For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																										
1801	750	2801	375 Request for Continued Examination (RCE)																																																																																																																																																										
1802	900	1802	900 Request for expedited examination of a design application																																																																																																																																																										
Other fee (specify) _____																																																																																																																																																													
SUBTOTAL (1) 750.00																																																																																																																																																													
1. BASIC FILING FEE																																																																																																																																																													
<table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>1001</td><td>750</td><td>2001</td><td>375 Utility filing fee</td></tr> <tr><td>1002</td><td>330</td><td>2002</td><td>165 Design filing fee</td></tr> <tr><td>1003</td><td>520</td><td>2003</td><td>260 Plant filing fee</td></tr> <tr><td>1004</td><td>750</td><td>2004</td><td>375 Reissue filing fee</td></tr> <tr><td>1005</td><td>160</td><td>2005</td><td>80 Provisional filing fee</td></tr> </tbody> </table>					Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	1001	750	2001	375 Utility filing fee	1002	330	2002	165 Design filing fee	1003	520	2003	260 Plant filing fee	1004	750	2004	375 Reissue filing fee	1005	160	2005	80 Provisional filing fee																																																																																																																																	
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																																																										
1001	750	2001	375 Utility filing fee																																																																																																																																																										
1002	330	2002	165 Design filing fee																																																																																																																																																										
1003	520	2003	260 Plant filing fee																																																																																																																																																										
1004	750	2004	375 Reissue filing fee																																																																																																																																																										
1005	160	2005	80 Provisional filing fee																																																																																																																																																										
SUBTOTAL (1) 750.00																																																																																																																																																													
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE																																																																																																																																																													
<table border="1"> <thead> <tr> <th colspan="2">Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>Total Claims</td><td>13</td><td>-20** = 0</td><td>x 18 = 0</td></tr> <tr><td>Indep. Claims</td><td>3</td><td>-3** = 0</td><td>x 84 = 0</td></tr> <tr><td colspan="2">Multiple Dependent</td><td>280</td><td>= 0</td></tr> </tbody> </table>					Extra Claims		Fee from below	Fee Paid	Total Claims	13	-20** = 0	x 18 = 0	Indep. Claims	3	-3** = 0	x 84 = 0	Multiple Dependent		280	= 0																																																																																																																																									
Extra Claims		Fee from below	Fee Paid																																																																																																																																																										
Total Claims	13	-20** = 0	x 18 = 0																																																																																																																																																										
Indep. Claims	3	-3** = 0	x 84 = 0																																																																																																																																																										
Multiple Dependent		280	= 0																																																																																																																																																										
<table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>1202</td><td>18</td><td>2202</td></tr> <tr><td></td><td></td><td>9 Claims in excess of 20</td></tr> <tr><td>1201</td><td>84</td><td>2201</td></tr> <tr><td></td><td></td><td>42 Independent claims in excess of 3</td></tr> <tr><td>1203</td><td>280</td><td>2203</td></tr> <tr><td></td><td></td><td>140 Multiple dependent claim, if not paid</td></tr> <tr><td>1204</td><td>84</td><td>2204</td></tr> <tr><td></td><td></td><td>42 ** Reissue independent claims over original patent</td></tr> <tr><td>1205</td><td>18</td><td>2205</td></tr> <tr><td></td><td></td><td>9 ** Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table>					Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	1202	18	2202			9 Claims in excess of 20	1201	84	2201			42 Independent claims in excess of 3	1203	280	2203			140 Multiple dependent claim, if not paid	1204	84	2204			42 ** Reissue independent claims over original patent	1205	18	2205			9 ** Reissue claims in excess of 20 and over original patent																																																																																																																								
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description																																																																																																																																																											
1202	18	2202																																																																																																																																																											
		9 Claims in excess of 20																																																																																																																																																											
1201	84	2201																																																																																																																																																											
		42 Independent claims in excess of 3																																																																																																																																																											
1203	280	2203																																																																																																																																																											
		140 Multiple dependent claim, if not paid																																																																																																																																																											
1204	84	2204																																																																																																																																																											
		42 ** Reissue independent claims over original patent																																																																																																																																																											
1205	18	2205																																																																																																																																																											
		9 ** Reissue claims in excess of 20 and over original patent																																																																																																																																																											
SUBTOTAL (2) \$ 0.00																																																																																																																																																													

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 0.00

**SUBMITTED BY**

**Complete (if applicable)**

Complete (if applicable)					
Name (Print/Type)	Carl I. Brundidge	Registration No. (Attorney/Agent)	29,621	Telephone	703-312-6600
Signature				Date	09/29/2003

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Washington, DC 20231.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.